

ADDENDUM

TO

FY 2001 – 2005 MULTIYEAR PROGRAM PLAN

FY 2001 ANNUAL PERFORMANCE PLAN

GUIDANCE

September 1, 2000

Annual Performance Plan

Each Focus Area is required to submit an Annual Performance Plan (APP) as an addendum to their Multyear Program Plan (MYPP). The APP is directly tied to the Program Execution Guidance (PEG) and supports the execution and evaluation of the program as compared to the planning and budgeting function supported by the MYPP. The FY 2001 APP will set the performance goals at the start of the year so that progress can be tracked against this single set of goals. Focus Areas should prepare an APP that includes all relevant technologies, including those traditionally done in the past by the Crosscutting programs. The APP should be written to reflect funding in the initial financial plan and should be revised to show actual budget allocations, as budget allocations become available.

It is planned that all more detailed data required for the APP will have been entered into the Technology Management System (TMS) or the Integrated Planning, Accountability, and Budgeting System-Information System (IPABS-IS) and a compilation of reports will be printed directly from the two systems to produce important sections of the Focus Area APP. As such reports are available they should be used directly as part of the APP. Where automatic reports are not yet in place, the Focus Area should complete the information and provide it. The general format of the APP will be as follows.

1. Significant Technologies/Projects – Focus Areas should provide a short paragraph description for each of the program's most significant (i.e., technologies offering the greatest value added to the EM cleanup mission) 5-10 technologies, projects, or products in FY 2001. Cost savings, technical risk, schedule, enabling technology, and number of sites where technology is applicable and where deployments have been assured should be highlighted. The description should include the Office of Science and Technology (OST) technology name, ID number, deployment site and date, and a brief explanation of how the technology impacts Environmental Management (EM) cleanup needs (i.e., enabling technology, cost savings, safety and health, etc.).

Among other uses, this information will be provided as appropriate to relevant regulators and others (e.g., consulting firms to stimulate awareness. Updated Technology Summary Sheets for each significant technology/projects must be provided as part of the APP.

2. Major Technical Milestones – Focus Areas should provide a listing of FY 2001 milestones, which are of major significance in measuring and articulating progress of the focus area program. Milestones should include those at the OST Project Baseline Summary (PBS) level (~three per Focus Area) and those flagged in the Technical Task Plan (TTP) (three - five per TTP) that are of Headquarters interest and correspond with the FY 2001 milestones reported in the Quarterly Business Reviews (QBRs) and the Project Execution Module of IPABS-IS. The description should include the milestone number, title, date (MM/YY), related site PBS(s), and technology ID.
3. Significant Publications – Focus Areas should provide the schedule of planned publications for FY 2001 that will be included in the Focus Area FY 2001 Communication Plan. These

publications describe the OST program, convey results, and report accomplishments that are significant to OST customers (i.e., Congress, stakeholders and the general public). These must include all documents to be included in the FY 2001 OST Communications Plan. Examples are: Annual Reports, Deployment Summary Book, Industry Partnership Brochure, OST Success Stories, and Fact Sheets. The publications and schedule dates for required publications will be defined in the OST FY 2001 Communications Plan guidance scheduled to be released in early October.

4. Indicators of Focus Area Performance – The purpose of this section is to describe the goals of each Focus Area with respect to the EM Corporate Performance measures and to set performance metrics in other areas such as peer review. The official reporting of the Corporate Performance Measures is submitted from the sites and Headquarters on a semi-annual basis in the SOLOMON database. The information contained in this section will form the basis for the technical performance section of the QBR. Specific indicators required will be: technology deployment, demonstration, ready for implementation, needs eliminated, peer review progress, risk reduction, and cost savings. Deployment and demonstration plans will be used as appropriate to stimulate increased awareness by regulators, consulting firms, and others.

Other quantitative indicators of performance such as “Step Change” which are appropriate to a specific Focus Area may be included in the APP. Such indicators will not be specifically tracked at the QBR, but will be reviewed by individual Headquarters Program Managers.

- a. Technology Deployment is the use of a technology or technology system toward accomplishment of one or more, site-specific, Department of Energy (DOE) EM cleanup activities. Information required will be OST Reference number, Technology Title, PBS Served, Needs Served, Planned Date, Latest Date Required, Performance Site, and Site Detail.
- b. Technology Demonstration is the test of a commercial or pre-commercial prototype of a technology-based product or a commercial unit to obtain performance and cost-of-performance data on a real world environmental or waste management problem. Information required will be OST Reference number, Technology Title, PBS Served, Needs Served, Planned Date, Latest Date Required, Performance Site, and Site Detail.
- c. Technology Ready For Implementation (RFI) is a technology process, product, or service considered RFI when full-scale cost and performance data has been developed and documented, when it is readily available from a vendor or other source, and when it is acceptable to regulatory standards. Evidence of this is the publication of an Innovative Technology Summary Report (ITSR) in accordance with the ITSR guidelines. Information required will be OST Reference number, Technology Title, PBS Served, Needs Served, Planned Date, Latest Date Required, Performance Site, and Site Detail.

- d. High Priority Needs (HPN) in IPABS-IS Targeted for Elimination in FY 2001 are needs targeted for resolution in FY 2001 due to the application of science and technology. This data is planned as a Corporate Performance Measure for FY 2001 and is reported by the Sites in IPABS-IS by marking for deletion from a PBS and as dispositioned due to science and technology. Information required will be HPN Number, Work Package Number, Tech ID Number, Technology Title, RFI Date, PBS Served, Planned Date, Latest Date Required, Performance Site, and Site Detail. This should only be a list of needs the Sites are eliminating, not every need the Focus Area is working on.
- e. Peer Review Schedule shows that OST has the review mechanisms and groups needed to ensure that the technical or scientific merit and relevance of its activities are planned and scheduled on an annual basis. Continuous internal and external peer review is recognized in the science and technology community as a necessary element of sound program evaluation and decision-making. Information required will be Technology Name, Tech ID, Review Level, and Proposed Date.
- f. Risk Reduction is planned as a Corporate Performance Measure for FY 2001. Technical Risk is a subjective measure of the degree of confidence in the planned technical approach of a project. Technical risk includes two components: (1) stream disposition data containing information on the “cradle to grave” management of streams, spent nuclear fuel, and contaminated media; and (2) milestones on the critical path to site closure. To establish the baseline of technical risk by Focus Area, technical risk values equal to or greater than three should be reported. Information required will be PBS #, Work Package #, Stream # and Technical Risk \geq three, TSD # and Technical Risk \geq three, CCP Milestone # and Technical Risk \geq three. This should be a list of streams, TSDs and CCP Milestones with a Technical Risk of three or greater with the associated work package and PBS. Work packages associated with technical risk less than three should not be listed.
- g. Cost Savings is a planned EM Corporate Performance Measure for FY 2001. The FY 1999 Life-cycle Planning data collection established the baseline for measuring a reduction in PBS life-cycle costs due to science and technology. Information required will be PBS #, Work Package #, PBS Life-Cycle Cost (\$000) and Cost Reduction Due to Technology. Only PBSs, and the associated work package, that have cost reduction due to technology should be listed.
1. Program-Sponsored Conferences, Workshops, or Stakeholder Activities – A listing of all program-sponsored conferences, workshops, or stakeholder activities with location and dates, if available. This listing should contain mid-year reviews, major conferences, open houses for technology demonstrations, workshops, etc.